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Date: August 19, 2004

By: Sandy Reisman
Sandy Reisman

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: DAVID ENGBRETSON

APPLICATION NO.: 10/824,185

FILED: APRIL 14, 2004

FOR: **FENESTRATION FRAME ASSEMBLIES,
E.G., RETROFIT WINDOW FRAME
ASSEMBLIES, AND METHODS OF
INSTALLING SAME**

EXAMINER: NOT YET ASSIGNED

ART UNIT: 3635

CONF. NO: 5901

**Information Disclosure Statement Within Three Months of
Application Filing or Before First Action – 37 C.F.R. § 1.97(b)**

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

1. Timing of Submission

This information disclosure is being filed within three months of the filing date of this application or date of entry into the national stage of an international application or before the mailing date of a first Office action on the merits, whichever occurs last [37 C.F.R. § 1.97(b)]. The references listed on the enclosed Form PTO-1449 (modified) may be material to the examination of this application; the Examiner is requested to make them of record in the application.

2. Cited Information

☐ Copies of the following references are enclosed:

- ☐ All cited references
- ☐ References marked by asterisks
- ☐ The following:

☒ Copies of the following references can be found in parent U.S. Application No. 10/339,694:

- ☐ All cited references
- ☒ References not marked by asterisks
- ☐ The following:

☒ This application was filed after 30 June 2003 and no copies of U.S. patents nor published applications are enclosed (See Notice of Deputy Commissioner Kunin on 11 July 2003).

☐ The following references are not in English. For each such reference, the undersigned has enclosed (i) a translation of the reference; (ii) a copy of a communication from a foreign patent office or International Searching Authority citing the reference, (iii) a copy of a reference which appears to be an English-language counterpart, or (iv) an English-language abstract for the reference prepared by a third party. Applicant has not verified that the translation, English-language counterpart or third-party abstract is an accurate representation of the teachings of the non-English reference, though, and reserves the right to demonstrate otherwise.

- ☐ All cited references
- ☐ References marked by ampersands
- ☐ The following:

3. Effect of Information Disclosure Statement (37 C.F.R. § 1.97(h))

This Information Disclosure Statement is not to be construed as a representation that: (i) a search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the cited information is, or is considered to be, material to patentability. In addition, applicant does not admit that any enclosed item of information constitutes prior art to the subject invention and specifically reserves the right to demonstrate that any such reference is not prior art.

4. Fee Payment

No fees are believed due because this Information Disclosure Statement is being filed before the mailing date of the first Office Action.

☐ Applicant further submits that no fee is due in light of the following certification under 37 C.F.R. § 1.97(e) (check only one):

- ☐ In accordance with 37 C.F.R. § 1.97(e)(1), the undersigned hereby states that each item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart

foreign application not more than three months prior to the filing of this statement; or

- ☐ In accordance with 37 C.F.R. § 1.97(e)(2), the undersigned hereby states that no item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart foreign application, or, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of this statement.

However, should the Commissioner determine that fees are due in order for this Information Disclosure Statement to be considered, the Commissioner is hereby authorized to charge such fees to Deposit Account No. 50-0665.

5. Patent Term Adjustment (37 C.F.R. § 1.704(d))

- ☐ The undersigned states that each item of information submitted herewith was cited in a communication from a foreign patent office in a counterpart application and that this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this statement. 37 C.F.R. § 1.704(d).

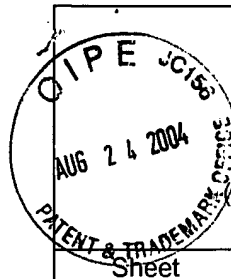
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Form PTO-1449 (Modified)
Use several sheets if necessary)

COMPLETE IF KNOWN

Application Number	10/824,185
Confirmation Number	5901
Filing Date	April 14, 2004
First Named Inventor	David Engebretson
Group Art Unit	3635
Examiner Name	
Attorney Docket No.	391658003US1

Sheet 1 of 2

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.	U.S. Patent or Application		Name of Patentee or Inventor of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		NUMBER	Kind Code (if known)			
		2,912,078		Kiehl et al.	11/10/59	
		3,077,011		Boucher	02/12/63	
		3,416,271		Heeney	12/17/68	
		3,768,220		Riegelman, Jr.	10/30/73	
		3,875,706		Okawa	04/08/75	
		3,908,730		Goss, Jr. et al.	09/30/75	
		3,935,683		Derner et al.	02/02/76	
		3,964,231		Budich et al.	06/22/76	
		4,019,295		Derner et al.	04/26/77	
		4,114,342		Okawa	09/19/78	
		4,130,976		Kessler et al.	12/26/78	
		4,250,673		Hubbard	2/17/81	
		4,267,660		Kielhorn	05/19/81	
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		4,285,184		Turner, Jr.	08/25/81	
		4,328,650		Garbell	05/11/82	
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		4,558,536		Dunsmoor	12/17/85	
		4,563,846		Webb	01/14/86	
		4,608,800		Fredette	09/02/86	
		4,649,681		Eisele	03/17/87	

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application(s).

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
Form PTO-1449 (Modified)
(Use several sheets if necessary)



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Sheet 2 of 2

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		NUMBER	Kind Code (if known)			
		4,763,446		Kelly	08/16/88	
		4,807,395		Kelly	02/28/89	
		4,829,729		Derner et al.	05/16/89	
		4,993,204		Kuritsky et al.	02/19/91	
		4,995,213		Bezubic	02/26/91	
		5,115,610		Kessler	05/26/92	
		5,131,194		Anderson	07/21/92	
		5,157,881		Tashman et al.	10/27/92	
		5,319,879		Rozycki	06/14/94	
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		5,644,894		Hudson	07/08/97	
		5,660,010		Sayers	8/26/97	
		5,784,853		Hood et al.	07/28/98	
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		5,892,619		Chubb et al.	04/06/99	
		6,115,989		Boone et al.	09/12/00	
		6,141,925		Halvorson, Jr. et al.	11/07/00	
		6,467,226	B2	Dodson et al.	10/22/02	

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No.	Foreign Patent or Application			Name of Patentee or Applicant of Cited Document	Date of Publication or Filing Date of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	NUMBER	Kind Code (if known)				
		JP	52-035438		Sankyo Alum. Ind. Co. Ltd.	03/18/77		

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